

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
REQUEST FOR FILING NATIONAL PATENT APPLICATION

Under 35 USC 111(a) and Rule 53(b)

PATENT APPLICATION

Hon. Commissioner of Patents  
Washington, D.C. 20231

WITH SIGNED DECLARATION

J1130 U.S. PTO



Sir:

02/01/02

NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE



00909

J0909 U.S. PTO  
10/060305  
02/01/02

Herewith is the PATENT APPLICATION of  
Inventor(s): CHEN et al.

Title METHOD AND SYSTEM FOR PROVIDING AN  
AGGREGATED STOCK OPTIONS REPORT

Atty. Dkt.: P 283016

M#

Client Ref

including:

Date: February 1, 2002

1. Specification: 55 pages (only spec. and claims) 2. ☐ Specification in non-English language  
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 12 numbered claims  
4. ☒ Drawings: 21 sheet(s) ☐ informal; ☒ formal of size: ☐ A4 ☒ 11"  
5. ☐ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete item 6 or 7). (Prior M# SN )

6. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:

No. / filed  
No. / filed  
No. / filed

No. PCT / filed, Which

designated the US and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English

7. ☐ See the attached Preliminary Amendment, which amends the specification to claim benefit of the above listed US application(s)

8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

9. ☒ Assignee (optional): UBS PaineWebber Inc.

Address 1200 Harbor Boulevard, 10th Floor, Weehawken, New Jersey 07087

10. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

11. (country)

| Application No. | Filing Date | Application No.   | Filing Date |
|-----------------|-------------|---|-------------|
| (1)             |             | (2)   |             |
| (3)             |             | (4)   |             |
| (5)             |             | (6)   |             |
| (7)             |             | (8)   |             |
| (9)             |             | <input type="checkbox"/> See 3 <sup>rd</sup> page for additional priorities |             |

12. (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. / filed on \_\_\_\_\_

13. Small entity status ☒ is not claimed; ☐ is claimed (Pre-filing confirmation required)

- 13(a). ☐ Attached: (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)

- 13(b). ☐ See NONPUBLICATION REQUEST under Rule 213(a) attached (Pat-258)

14. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

| Application No. | Filing Date | Application No. | Filing Date |
|-----------------|-------------|-----------------|-------------|
| (1)             |             | (4)             |             |
| (2)             |             | (5)             |             |
| (3)             |             | (6)             |             |

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☐ Attached:

17. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

|   |    |            |    | Large/Small Entity                 |              | Fee Code |
|---|----|------------|----|------------------------------------|--------------|----------|
| 18. Basic Filing Fee  |    |            |    | \$740/\$370                        | \$740        | 101/201  |
| 19. Total Effective Claims  | 12 | minus 20 = | *0 | x \$18/\$9 =                       | + 0          | 103/203  |
| 20. Independent Claims  | 5  | minus 3 =  | *2 | x \$84/\$42 =                      | + 168        | 102/202  |
| *If answer is zero or less, enter "0"   |    |            |    |                                    |              |          |
| 21. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application) |    |            |    | + \$280/\$140                      | + 0          | 104/204  |
| 22.   |    |            |    | <b>TOTAL FILING FEE ENCLOSED =</b> | <b>\$908</b> |          |
| 23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee  |    |            |    | + \$130                            | + 0          | 139      |
| 24. If "assignment" box 8 is X'd, add recording fee   |    |            |    | + \$40                             | + 40         | 581      |
| 25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.  |    |            |    | + \$130                            | + 0          | 122      |
| 26.   |    |            |    | <b>TOTAL FEE ENCLOSED =</b>        | <b>\$948</b> |          |

Our Deposit Account No. 03-3975

Our Order No. 082086 | 0283016

C#

M#



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**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

By Atty: Christine H. McCarthy

Reg. No. 41844

Sig: *Christine H. McCarthy*

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Atty/Sec: CHM/EED

NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments